



1642

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PTO/SB/21 (08-00)  
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<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	09/894,018
	Filing Date	June 27, 2001
	First Named Inventor	Alessandro SETTE et al.
	Group Art Unit	1642
	Examiner Name	To be assigned
Total Number Of Pages In This Submission	Attorney Docket No.	399632003300

**ENCLOSURES (check all that apply)**

- |   |   |   |
|---|---|---|
| <input type="checkbox"/> Fee Transmittal Form   | <input type="checkbox"/> Assignment Papers (for an Application)                         | <input type="checkbox"/> After Allowance Communication to Group                                 |
| <input type="checkbox"/> Fee Attached   | <input type="checkbox"/> Drawing(s)   | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences             |
| <input type="checkbox"/> Amendment / Reply  | <input type="checkbox"/> Licensing-related Papers                                       | <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)      |
| <input type="checkbox"/> After Final  | <input type="checkbox"/> Petition   | <input type="checkbox"/> Proprietary Information  |
| <input type="checkbox"/> Affidavits/declarations  | <input type="checkbox"/> Petition to Convert to a Provisional Application               | <input type="checkbox"/> Status Letter  |
| <input type="checkbox"/> Extension of Time Request  | <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address | <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Return postcard |
| <input type="checkbox"/> Express Abandonment Request  | <input type="checkbox"/> Terminal Disclaimer  |   |
| <input checked="" type="checkbox"/> Information Disclosure Statement; PTO form 1449; and 51 references. | <input type="checkbox"/> Request for Refund   |   |
| <input type="checkbox"/> Certified Copy of Priority Document(s)   | <input type="checkbox"/> CD, Number of CD(s) _____                                      |   |
| <input type="checkbox"/> Response to Missing Parts/ Incomplete Application                              |   |   |
| <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53                            |   |   |

**SIGNATURE OF APPLICANT, ATTORNEY OR AGENT**

Firm or Individual Name	Bruce Grant, Registration No. 47,608 Morrison & Foerster 3811 Valley Centre Drive, Ste 500 San Diego, CA 92130
Signature	
Date	March 6, 2002

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I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on March 6, 2002.

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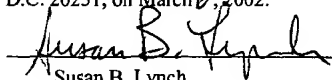
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sd-81754

PATENT  
Docket No. 399632003300  
Client Ref. EPI0159.30 US

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In the application of:

Alessandro SETTE et al.

Serial No.: 09/894,018

Filing Date: June 27, 2001

For: METHOD AND SYSTEM FOR  
OPTIMIZING MINIGENES AND  
PEPTIDES ENCODED THEREBY

Examiner: To be assigned

Group Art Unit: 1642

**INFORMATION DISCLOSURE  
STATEMENT UNDER 37 C.F.R. § 1.97**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Pursuant to 37 C.F.R. § 1.97 and § 1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. Copies of the documents are also submitted herewith. The Examiner is requested to make these documents of record.

This application may be relevant to U.S.S.N. 09/189,702 filed 11/10/98, which is a CIP of U.S.S.N 08/205,713 filed 3/4/94, which is a CIP of 08/159,184 filed 11/29/93 and now abandoned,



which is a CIP of 08/073,205 filed 6/4/93 and now abandoned, which is a CIP of 08/027,146 filed 3/5/93 and now abandoned. The present application is also related to U.S.S.N. 09/226,775, which is a CIP of U.S.S.N. 08/815,396, which claims the benefit of U.S.S.N. 60/013,113, now abandoned. Furthermore, the present application is related to U.S.S.N. 09/017,735, which is a CIP of abandoned U.S.S.N. 08/589,108; U.S.S.N. 08/753,622, U.S.S.N. 08/822,382, abandoned U.S.S.N. 60/013,980, U.S.S.N. 08/454,033, U.S.S.N. 09/116,424, and U.S.S.N. 08/349,177. The present application is also related to U.S.S.N. 09/017,524, U.S.S.N. 08/821,739, abandoned U.S.S.N. 60/013,833, U.S.S.N. 08/758,409, U.S.S.N. 08/589,107, U.S.S.N. 08/451,913, U.S.S.N. 08/186,266, U.S.S.N. 09/116,061, and U.S.S.N. 08/347,610, which is a CIP of U.S.S.N. 08/159,339, which is a CIP of abandoned U.S.S.N. 08/103,396, which is a CIP of abandoned U.S.S.N. 08/027,746, which is a CIP of abandoned U.S.S.N. 07/926,666. The present application may also be relevant to U.S.S.N. 09/017,743, U.S.S.N. 08/753,615; U.S.S.N. 08/590,298, U.S.S.N. 09/115,400, and U.S.S.N. 08/452,843, which is a CIP of U.S.S.N. 08/344,824, which is a CIP of abandoned U.S.S.N. 08/278,634. The present application may also be related to provisional U.S.S.N. 60/087,192 and U.S.S.N. 09/009,953, which is a CIP of abandoned U.S.S.N. 60/036,713 and abandoned U.S.S.N. 60/037,432. In addition, the present application may be relevant to U.S.S.N. 09/098,584, and U.S.S.N. 09/239,043. The present application may also be relevant to co-pending U.S.S.N. 09/583,200 filed 5/30/00, U.S.S.N. 09/260,714 filed 3/1/99, and U.S. Provisional Application "Heteroclitc Analogs And Related Methods", Attorney Docket Number 018623-015810US filed 10/6/00 .

This Information Disclosure Statement is submitted:

- ☐ With the application; accordingly, no fee or separate requirements are required.
- ☒ Within three months of the application filing date or before mailing of a first Office Action on the merits; accordingly, no fee or separate requirements are required.
- ☐ After receipt of a first Office Action on the merits but before mailing of a final Office Action or Notice of Allowance.

- ☐ A fee is required. A check in the amount of \* is enclosed.
- ☐ A fee is required. Accordingly, a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.
- ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below; accordingly, no fee is believed to be due.
- ☐ After mailing of a final Office Action or Notice of Allowance, but before payment of the issue fee.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below and a check in the amount of \* is enclosed.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below and a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.

Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

The information contained in this Information Disclosure Statement under 37 C.F.R. § 1.97 is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, applicant petitions for any required relief including extensions of time and authorizes the Assistant Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 03-1952** referencing 399632003300. However, the Assistant Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Dated: March 6, 2002

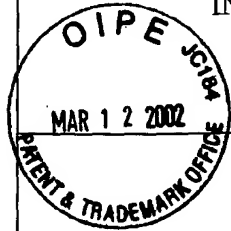
Respectfully submitted,

By: 

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Form PTO-1449

INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION

Docket Number 399632003300

Application Number 09/894,018

Applicant

Alessandro SETTE et al.

Filing Date June 27, 2001

Group Art Unit 1642

Mailing Date March 6, 2002

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## U.S. PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Name	Class	Subclass	Filing Date If Appropriate
	1.	05/27/1997	5,633,234	August et al.	514	44	
	2.	04/07/1998	5,736,142	Sette et al.	424	185.1	

## FOREIGN PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Country	Class	Subclass	Translation YES NO
	3.	02/06/1997	WO 97/03778	WO			X
	4.	03/04/1999	WO 99/10646	WO			X
	5.	04/06/2000	WO 00/19774	WO			X
	6.	05/18/2000	WO 00/27766	WO			X

## OTHER DOCUMENTS

(including author, title, Date, Pertinent Pages, Etc.)

Examiner Initials	Ref. No.	Title
	7.	Anton et al. (1997). <i>J Immunol</i> 158(6):2535-42.
	8.	Arndt et al. (1997). <i>Immunol Res</i> 16(3):261-72.
	9.	Bergmann et al. (1994). <i>J Virol.</i> 68(8):5306-10.
	10.	Bergmann et al. (1996). <i>J Immunol</i> 157(8):3242-9.
	12.	Bertoni et al. (1997). <i>J Clin Invest.</i> 100(3):503-13.
	13.	Blum et al. (1997). <i>Crit Rev Immunol</i> 17(5-6):411-7.
	14.	Chapman, H.A. (1998). <i>Curr Opin Immunol</i> 10(1):93-102.
	15.	Chimini et al. (1989). <i>J Exp Med</i> 169(1):297-302.
	16.	Copier et al. (1996). <i>J. Immunol.</i> 157:1017-1027.
	17.	Couillin et al. (1994). <i>J Exp Med</i> 180(3):1129-34.
	18.	Del Val et al. (1991). <i>Cell</i> 66(6):1145-53.
	19.	Diminsky et al. (1997). <i>Vaccine</i> 15:637-647.
	20.	Doolan et al. (1997). <i>Immunity</i> 7(1):97-112.

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DATE CONSIDERED:

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| 21. | Gileadi et al. (1999). <i>Eur J Immunol</i> 29(7):2213-22.          |
| 22. | Hahn et al. (1991). <i>J Exp Med</i> 174(3):733-6.                  |
| 23. | Hahn et al. (1992). <i>J Exp Med</i> 176(5):1335-41                 |
| 24. | Hanke et al (1998). <i>J Gen Virol</i> 79(Pt 1):83-90.              |
| 25. | Hunt et al. (1992). <i>Science</i> 256(5065):1817-20.               |
| 26. | Ishioka et al. (1999). <i>J Immunol</i> 162(7):3915-25.             |
| 27. | Iwasaki et al. (1999). <i>Vaccine</i> 17(15-16):2081-8.             |
| 28. | LeBorgne et al. (1998). <i>Virology</i> 240:304-315.                |
| 29. | Lippolis et al. (1995). <i>J Virol</i> 69(5):3134-46.               |
| 30. | Livingston et al. (1997). <i>J Immunol</i> 159(3):1383-92.          |
| 31. | Mateo et al. (1999). <i>J Immunol</i> 163(7):4058-63.               |
| 32. | Moudgil et al. (1997). <i>J Immunol</i> 159(6):2574-9.              |
| 33. | Nakagawa et al. (1999). <i>Immunity</i> 10(2):207-17.               |
| 34. | Niedermann et al (1995). <i>Immunity</i> 2(3):289-99.               |
| 35. | Ogg G.S. et al. (1998). <i>Curr Opin Immunol</i> 10(4):393-6.       |
| 36. | Paz et al. (1999). <i>Immunity</i> 11(2):241-51.                    |
| 37. | Perkins et al (1991). <i>J Immunol</i> 146(7):2137-44.              |
| 38. | Rammensee et al. (1995). <i>Immunogenetics</i> 41:178-228.          |
| 39. | Restifo et al. (1995). <i>J Immunol</i> 154(9):4414-22.             |
| 40. | Sette et al. (1989). <i>J. Immunol.</i> 143:1268-73.                |
| 41. | Shastri et al. (1995). <i>J Immunol</i> 155(9):4339-46.             |
| 42. | Theobald et al. (1998). <i>J Exp Med</i> 188(6):1017-28.            |
| 43. | Thomson et al. (1998). <i>J Immunol</i> 160(4):1717-23.             |
| 44. | Thomson et al. (1998). <i>J Virol</i> 72(3):2246-52.                |
| 45. | Thomson et al. (1995). <i>Proc Natl Acad Sci USA</i> 92(13):5845-9. |
| 46. | Threlkeld et al. (1997). <i>J. Immunol.</i> 159(4):1648-57.         |
| 47. | Tussey et al. (1995). <i>Immunity</i> 3(1):65-77.                   |
| 48. | Wang et al. (1992). <i>Cell Immunol</i> 143(2):284-97.              |
| 49. | Wherry et al. (1999). <i>J Immunol</i> 163(7):3735-45.              |
| 50. | Woodberry et al. (1999). <i>J Virol</i> 73(7):5320-5.               |

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